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Information Disclosure Statement

(In duplicate);

Form PTO/SB/08a, Information Disclosure

Statement by Applicant; and

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Serial No.:

10/553,306

Date Filed:

October 14, 2005

I hereby certify that the documents identified above are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Catherine A. Johnson

56697-326363 9364754.1

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. 10/553,306 **Application Number** TRANSMITTA October 14, 2005 Filing Date **FORM** First Named Inventor Yuliang Zheng et al. JUN 2 6 2006 2142 Art Unit Unassigned **Examiner Name** (to be used for all correspondence af 56697-326363 Total Number of Pages in This Submission Attorney Docket Number ENCLOSURES (check all that apply) After Allowance Communication to TC Fee Transmittal Form Drawing(s) Appeal Communication to Board Licensing-related Papers Fee Attached of Appeals and Interferences Appeal Communication to TC Petition Amendment / Reply (Appeal Notice, Brief, Reply Brief) Petition to Convert to a Proprietary Information After Final Provisional Application Power of Attorney, Revocation Status Letter Affidavits/declaration(s) Change of Correspondence Address Terminal Disclaimer Other Enclosure(s) Extension of Time Request (please identify below): Express Mail Certificate EV 740 586 322 Request for Refund US; PTO/SB/08A; and Return Postcard Express Abandonment Request CD, Number of CD(s) \_ Information Disclosure Statement Landscape Table on CD Remarks Certified Copy of Priority Document(s) Reply to Missing Parts/ Incomplete Application Reply to Missing Parts under 37 CFR1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Stockton LLP Printed Name nn C. Alemanni Reg. Date 47,384 June 26, 2006 No. CERTIFICATE OF TRANSMISSION/MAILING I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date

Signature

Typed or printed name





## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Yuliang Zheng et al.

Serial No. : 10/553,306

For : Systems and Methods for Dynamic and

**Risk-Aware Network Security** 

Filed : October 14,2005

Examiner : Unassigned

Art Group : 2142

Mail Stop Amendment Commissioner of Patents P.O. Box 1450

<sup>e</sup> Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicants submit herewith on Form PTO/SB/08a a listing of documents known to the Applicants and/or their attorney. Applicants respectfully request consideration of the cited documents and making the same of record in the prosecution of the above-identified application. In so doing, Applicants do not waive any rights to take appropriate action to establish patentability over the listed documents should they be applied as references against the claims of the present application. Pursuant to the Notice in the Official Gazette of August 5, 2003, wherein the Patent Office waived the requirements of 37 C.F.R. § 1.98(a)(2)(i), Applicants have not enclosed copies of the U.S. patent references.

This statement should not be construed as a representation that more material information does not exist or that a search of the relevant art has been made. It is respectfully requested that the references listed on the attached form PTO/SB/08A be expressly considered by the Examiner, made of record in the application, and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is being submitted prior to the mailing date of a first Office Action in this application. Pursuant to 37 C.F.R. 1.97(c)(1) and 37 C.F.R. 1.97(e)(1), I hereby state that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. Accordingly, no fee is believed to be required. However, should any fees be due, the Commissioner is authorized to charge such fees to Deposit Account No. 16-1435. A duplicate of this sheet is attached for that purpose.

Respectfully submitted,

Date: June 26, 2006

ohn C. Alemanni (Reg. No. 47,384)

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PTO/SB/08a (08-03) Approved for use through 07/31/2006. OMB 0651-0031

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| Substitute for form 144           |          |     |          | Complete if Known                          |   |               |  |
|                                   |          |     |          | Application Number                         | 10/553,306                                    |               |  |
| INFC                              | PRMATION | DIS | CLOSURE  | Filing Date                                | October 14, 2005                              |               |  |
| STA                               | TEMENT B | YA  | PPLICANT | First Named Inventor                       | Yuliang Zheng                                 |               |  |
|                                   |          |     |          | Art Unit                                   | 2142  |               |  |
| (Use as many sheets as necessary) |          |     |          | Examiner Name                              | Unassigned                                    |               |  |
| Sheet                             | 1        | of  | 1        | Attorney Docket Number                     | 56697-326363                                  |               |  |

| U.S. PATENT DOCUMENTS  |              |  |                  |  |  |  |
|------------------------|--------------|--|------------------|--|--|--|
| Examiner<br>Initials * | Cite<br>No.1 | Document Number                            | Publication Date | Name of Patentee or Applicant of<br>Cited Document | Pages, Columns, Lines, Where Relevan<br>Passages or Relevant<br>Figures Appear |  |
|                        |              | Number - Kind Code <sup>2</sup> (if known) | MM-DD-YYYY       |  |  |  |
|                        | 1.           | US- 2004/0205360 A1                        | 10/14/2004       | Norton et al.                                      |  |  |
|                        | 2.           | US- 2005/0216764 A1                        | 09/29/2005       | Norton et al.                                      |  |  |
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| FOREIGN PATENT DOCUMENTS |                          |  |                    |                                |  |                |
|--------------------------|--------------------------|--|--------------------|--------------------------------|--|----------------|
| Examiner<br>Initials*    | Cite<br>No. <sup>1</sup> | Foreign Patent Document  | Publication        | Name of Patentee or            | Pages, Columns, Lines,<br>Where Relevant<br>Passages or Relevant<br>Figures Appear | T <sup>®</sup> |
|                          |                          | Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> ( <i>if known</i> ) | Date<br>MM-DD-YYYY | Applicant of Cited<br>Document |  |                |
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| Examiner<br>Signature |       | Date<br>Considered |  |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁵ Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.

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